



ATTORNEY DOCKET NO.  
1321-P011CD2D1

PATENT  
APPLICATION NO. 10/670,955

UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Daniel T. Colbert et al.

Group Art Unit: Not Yet Assigned

Serial No.: 10/670,955

Filed: September 25, 2003

Title: METHOD FOR END-DERIVATIZING SINGLE-WALL CARBON NANOTUBES AND FOR INTRODUCING AN ENDOHEDRAL GROUP TO SINGLE-WALL CARBON NANOTUBES

CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement along with attached SB/08A-B (Form 1449) and 29 references, are being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on February 26, 2004.

GRACIE SOLIS

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicant submits herewith patents, publications or other information of which it is aware, which it believes may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

**ATTORNEY DOCKET NO.**  
**11321-P011CD2D1**

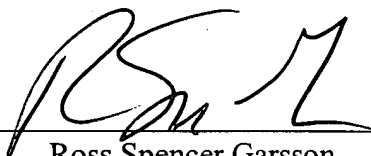
**PATENT**  
**APPLICATION NO. 10/670,955**

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

Also in accordance with 37 C.F.R. § 1.98(a)(2)(i), no copies of U.S. patents and pending applications identified on the attached Form PTO-1449 are required for all U.S. patent applications filed after June 30, 2003. Therefore, only copies of foreign patent documents and non-patent literature referenced on the attached Form PTO-1449 are submitted herewith.

Applicant believes that no fee is due at this time. However, the Commissioner is hereby authorized to credit any overpayment or charge for inadvertently omitted fees to Deposit Account No. 23-2426 (11321-P011CD2D1).

Respectfully submitted,

By:   
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Ross Spencer Garsson  
Reg. No. 38,150

Winstead Sechrest & Minick P.C.  
P.O. Box 50784  
Dallas, Texas 75201

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11321-P011CD2D1 02/25/2004

**LIST OF PATENTS AND PUBLICATIONS FOR  
 APPLICANTS' INFORMATION DISCLOSURE  
 STATEMENT**

Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
___AAA	5,824,470	10/20/1998	Baldeschweiler et al.	435	6	
___ABA	5,424,054	06/13/1995	Bethune et al.	423	447.2	
___ACA	5,381,101	01/10/1995	Bloom et al.	324	676	
___ADA	5,171,992	12/15/1992	Clabes et al.	250	306	
___AEA	6,231,980	05/15/2001	Cohen et al.	428	402	
___AFA	6,538,262	03/25/2003	Crespi et al.	257	40	
___AGA	6,401,526	06/11/2002	Dai et al.	73	105	
___AHA	5,641,466	06/24/1997	Ebbesen et al.	423	447.2	
___AIA	5,126,574	06/30/1992	Gallagher	250	492.2	
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___AKA	5,935,339	08/10/1999	Henderson et al.	134	1	
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___ASA	5,503,010	04/02/1996	Yamanaka	73	105	

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
___ATA	EP 1 176 234 A2	12/05/1993	European			
___AUA	WO 96/18059	06/13/1996	PCT			

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

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_____AVA	AJAYAN et al., "Aligned Carbon Nanotube Arrays Formed by Cutting a Polymer Resin-Nanotube Composite," <i>Science</i> , Volume 265, pp. 1212-1214 (August 26, 1994).
_____AWA	AJAYAN et al., "Nanometre-size tubes of carbon," <i>Rep. Prog. Phys.</i> , Volume 60, pp. 1025-1062 (1997).
_____AXA	AJAYAN et al., "Opening carbon nanotubes with oxygen and implications for filling," <i>Nature</i> , Volume 362, pp. 522-525 (April 8, 1993).
_____AYA	CHEN, "Growth and Properties of Carbon Nanotubes," <i>Thesis for the degree Master of Science, Rice University</i> , Houston, Texas (May 1995).
_____AZA	CHICO et al., "Pure Carbon Nanoscale Devices: Nanotube Heterojunctions," <i>Physical Review Letters</i> , Volume 76, Number 6, pp. 971-974 (February 5, 1996).
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_____BBB	de HEER et al., "Aligned Carbon Nanotube Films: Production and Optical and Electronic Properties," <i>Science</i> , Volume 268, pp. 845-846 (May 12, 1995).
_____BCB	DRAVID et al., "Buckytubes and Derivatives: Their Growth and Implications for Buckyball Formation," <i>Science</i> , Volume 259, pp. 1601-1604 (March 12, 1993).
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_____BGB	GE et al. "Scanning tunneling microscopy of single-shell nanotubes of carbon," <i>Applied Physics Letters</i> , Volume 65, Number 18, pp. 2284-2286 (October 31, 1994).
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_____BJB	KIANG et al., "Structural Modification of Single-Layer Carbon Nanotubes with an Electron Beam," <i>Journal of Physics Chem.</i> , Volume 100, Number 9, pp. 3749-3752 (1996).
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_____BRB	THESS et al., "Crystalline Ropes of Metallic Carbon Nanotubes," <i>Science</i> , Volume 273, pp. 483-487 (July 26, 1996).
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_____BUB	WANG et al., "Properties of Buckytubes and Derivatives," <i>Carbon</i> , Volume 33, No. 7, pp. 949-958 (1995).

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*Philosophical Magazine Letters*, Volume 78, Number 2, pp. 139-144 (1998).

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Examiner:

Date Considered:

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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